

# COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



ATTORNEY DOCKET NO.: 038134-5001-01

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

## LINEAR CYCLODEXTRIN COPOLYMERS

the specification of which:

is attached hereto; or

was filed as United States application Serial No. \_\_\_\_\_ on June 25, 1999 and was amended on \_\_\_\_\_ (if applicable); or

was filed as PCT international application Number \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office information which is material to the patentability of claims presented in this application in accordance with Title 37, Code of Federal Regulations, §1.56.

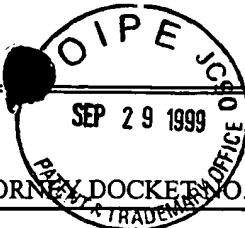
I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate or §365(a) of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

### PRIOR FOREIGN APPLICATION(S):

COUNTRY (if PCT, indicate PCT)	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No

Combined Declaration For Patent Application and Power of Attorney - (Continued)  
(includes Reference to PCT International Applications)

ATTORNEY DOCKET NO.: 038134-5001-01



I hereby claim the benefits under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

U.S. PROVISIONAL APPLICATIONS

U.S. PROVISIONAL APPLICATION NO.	U.S. FILING DATE
60/091,550	July 1, 1998

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or §365(c) of any PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to the patentability of claims presented in this application in accordance with Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT:

U.S. APPLICATIONS		STATUS (Check One)		
U.S. APPLICATION NO.	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
09/203,556	December 2, 1998		X	

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the registered practitioners of Morgan, Lewis & Bockius LLP included in the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to that Customer Number.

Customer Number: 009629

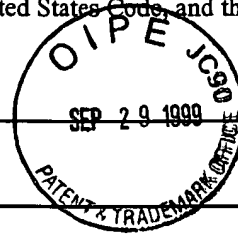
Direct Telephone Calls To:  
(name and telephone number)

Jeffrey A. Lindeman  
202-467-7747

Combined Declaration For Patent Application and Power of Attorney - (Continued)  
(includes Reference to PCT International Applications)

ATTORNEY DOCKET NO.: 038134-5001-01

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.



FULL NAME OF SOLE OR FIRST INVENTOR	Mark E. DAVIS	
RESIDENCE & CITIZENSHIP	Pasadena, California	COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	575 Laguna Rd., Pasadena, CA 91105	
FIRST OR SOLE INVENTOR'S SIGNATURE	<i>Mark E. Davis</i>	DATE Jul 23, 1999
FULL NAME OF SECOND INVENTOR	Hector GONZALEZ	
RESIDENCE & CITIZENSHIP	San Francisco, California	COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	178 19th Avenue, San Francisco, CA 94121	
SECOND INVENTOR'S SIGNATURE		DATE
FULL NAME OF THIRD INVENTOR	Suzie (Sue Jean) HWANG	
RESIDENCE & CITIZENSHIP	Torrance, California	COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	5327 Doris Way, Torrance, CA 90505	
THIRD INVENTOR'S SIGNATURE	<i>Suzie Hwang</i>	DATE July 29 1999


Listing of Inventors Continued on attached page(s) [ ] Yes [X] No

Combined Declaration For Patent Application and Power of Attorney - (Continued)  
(includes Reference to PCT International Applications)

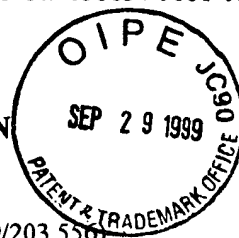
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SEP 29 1999

FULL NAME OF SOLE OR FIRST INVENTOR	Mark E. DAVIS		
RESIDENCE & CITIZENSHIP	Pasadena, California	COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS	575 Laguna Rd., Pasadena, CA 91105		
FIRST OR SOLE INVENTOR'S SIGNATURE			DATE
FULL NAME OF SECOND INVENTOR	Hector GONZALEZ		
RESIDENCE & CITIZENSHIP	San Francisco, California	COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS	1421 Clay Street San Francisco 94109		
SECOND INVENTOR'S SIGNATURE			DATE 9/21/99
FULL NAME OF THIRD INVENTOR	Suzie (Sue Jean) HWANG		
RESIDENCE & CITIZENSHIP	Torrance, California	COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS	5327 Doris Way, Torrance, CA 90505		
THIRD INVENTOR'S SIGNATURE			DATE

Listing of Inventors Continued on attached page(s) ☐ Yes ☒ No



**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**37 C.F.R. §§1.9(f) and 1.27(d)-NONPROFIT ORGANIZATION**

Applicant(s): Mark E. DAVIS, Hector GONZALEZ and Suzie (Sue Jean) HWANG  
U.S. Serial No.: (Not assigned) (Continuation-In-Part of pending prior U.S. Patent Application No. 09/203,556)  
Filed: June 25, 1999  
Title: **LINEAR CYCLODEXTRIN COPOLYMERS**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: California Institute of Technology

ADDRESS OF NONPROFIT ORGANIZATION: 1200 East California Boulevard, Pasadena, CA 91125

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. §§501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF A STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. §§501(a) and (501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled **LINEAR CYCLODEXTRIN COPOLYMERS** and described in:

- ☐ the specification filed herewith with the title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above with regard to the invention. If the rights held by the nonprofit organization above identified are not exclusive, each individual, concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. §1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NAME: California Institute of Technology		
ADDRESS: 1200 East California Boulevard, Pasadena, CA 91125		
<div data-bbox="1079 199 1323 430"></div>		
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> SMALL BUSINESS CONCERN	<input checked="" type="checkbox"/> NON PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is longer appropriate. (37 C.F.R. §1.28(b)).

NAME OF PERSON SIGNING: Adam Cochran

TITLE IN ORGANIZATION OF PERSON SIGNING: The Intellectual Property Counsel

ADDRESS OF PERSON SIGNING: California Institute of Technology  
1200 East California Boulevard, Mail Code 201-85, Pasadena, CA 91125

SIGNATURE 

DATE July 21, 1999